

## **FILE MAINTENANCE AND FINAL DATA CAPTURE ISSUE BUILD REQUIREMENTS**

There are six types of applications that are processed in File Maintenance and Final Data Capture:

1. Utility application
2. Design application
3. Plant application
4. Statutory Invention Registration (SIRs)
5. Re-examination Case
6. Previously receipted application: received from the Examining Corps, the Office of Quality Review, Office of Petitions, the Solicitor's Office, or Image Assistance Center.

File Maintenance processes the issue fees, drawings and correspondence in order to prepare an application for Final Data Capture. File Maintenance processes the abandonments for failure to comply to either issue fee or drawing requirements and prepares the weekly Patent Grants.

Final Data Capture incorporates all of the information added to the application since Initial Data Capture and builds the weekly issue.

The following sections define the various tasks that must be provided in order to fulfill the PTO requirements for File Maintenance and Final Data Capture services.

### **RECEIPT OF TRADITIONAL APPLICATION**

The Contractor shall acknowledge receipt of each traditional application through the PALM EXPO system.

Use PALM, enter 1021 and wand the application serial number bar code label of each application.

The Contractor shall acknowledge all error messages and send to the appropriate location(s) as identified in the error messages (examples: Quality Review, Licensing and Review Petition Offices, or other internal PTO offices as identified in EXPO Grouping).

When using the PALM transaction 1021, if no error message is received, the Contractor shall store each application.

### **DISPATCH OF TRADITIONAL APPLICATION**

The Contractor shall use PALM 1034, the appropriate location code and wand the application serial number bar code label of the application to indicate an application is being dispatched.

When using the PALM transaction 1034, if an error message is received, the Contractor shall send to the appropriate location(s) as identified in the error message (examples: Quality Review, Licensing and Review Petition Offices, or other internal PTO offices as identified in EXPO Grouping).

## **RECEIPT OF IFW APPLICATION**

The Contractor shall send a daily electronic list of each IFW application released from Initial Data Capture (IDC). This application serial number list will be loaded into PALM to create a PALM contents entry indicating IDC has been completed.

## **PROCESSING DRAWINGS (TRADITIONAL AND IFW)**

Drawings are received for approximately ninety six percent of the applications requiring drawings. The remaining approximately four percent are abandoned because the drawings have not been received by the USPTO Mail Center within the time period set by the latest office action requiring drawings. Drawings shall be verified for each application.

## **VERIFYING DRAWINGS**

1. Check the application serial number to ensure the correct drawings were indexed and scanned into the correct application.  
(If incorrect, report erroneous index and scan to PTO)
2. Compare the earliest date of receipt to the date due, i.e. 3 months from the date mailed on the form PTO 37.
3. If the drawings are late, then check for a Certificate of Mailing.
4. If the Certificate of Mailing date is on or before the date due, proceed to the next step.  
(If not timely, abandon application, see section, "Processing Applications for Abandonment")
5. Locate the "Brief Description of Drawings" in the specification of the application.
6. Verify there is a brief description of each figure contained in the drawings.
7. If the figures match the brief description, then the drawings are complete.  
(If the number of figures do not match, then complete and mail PTO 1631 "Notice of Drawing Inconsistency with Specification")

Use PALM transaction DRWF, enter the mailroom date of the drawings and key (or wand) the application serial number (bar code label of the application). This will close the drawing requirement and record the date the drawings were finalized in the PALM contents of the application.

## **PRODUCING THE NOTICE OF DRAWING INCONSISTENCY WITH SPECIFICATION FORM PTO 1631**

1. Use the supplied PTO 1631 form "Notice of Drawing Inconsistency with Specification". Check the appropriate box.
2. The Contractor shall use the 1380 PALM transaction and key (or wand) the application serial number (bar code label of the application).

3. The Contractor shall send the original of the form PTO 1631 to PTO Scanning (or place one inside the application).
4. The Contractor shall place the copy in an envelope to return to PTO for mailing.
5. The Contractor shall close the IFW application (or store the application) to await the response.

#### **PROCESSING OF RULE 312 AMENDMENTS IN RESPONSE TO PTO 1631**

1. The Contractor will verify 312 amendments to the “Brief Description of Drawings.”
2. The Contractor shall use the 1689 PALM transaction and key (or wand) the application serial number (bar code label of the application).
3. The Contractor shall send the original response to PTO Scanning (or place one inside the application).
4. The Contractor shall place the copy in an envelope to return to PTO for mailing.
5. The Contractor shall continue with section, “Verifying Drawings.”

#### **VERIFYING ISSUE FEE (TRADITIONAL AND IFW)**

Issue fees are received for approximately ninety-six percent of the applications. The remaining approximately four percent are abandoned because the issue fees have not been received by the PTO Mail Center within three months from the mailing date of the Notice of Allowance. There are no issue fees associated with Defensive publications, Statutory Invention Registrations or Re-examination cases. Issue Fee Transmittal forms PTOL-85 B (usually referred to as issue fees) shall be verified for each application.

Applications for which issue fees have been indexed and scanned into IFW shall be verified and processed as follows:

1. Check the address block on the Issue Fee Transmittal form.
2. If there is a difference between the address block and the address on the Bib Sheet, make change as described in section, “Processing Post-Allowance Correspondence Address Change.”
3. If there is a Notice of Allowance and Fee(s) Due form with the Small Entity or Large Entity box checked, then use PALM and enter either the 1841 or 1849 transaction as described in section, “Processing Post-Allowance Correspondence Small Entity Statements.”
4. Use PALM and enter the 1084 transaction.
5. Input the issue fee payment date (MMDDYYYY), which is found on the Issue Fee Transmittal form.
6. Verify advance order quantity.
7. Key (or wand) the application serial number (bar code label of the application).

In the process of updating Issue Fees, if the issue fees are updated with the incorrect applications, the Contractor shall use the following procedure for each incorrectly updated Issue Fee:

1. Use PALM and enter the 1085 transaction.

2. Key (or wand) the application serial number (bar code label of the application).

## **PROCESSING POST-ALLOWANCE CORRESPONDENCE (TRADITIONAL AND IFW)**

The Contractor shall view and process post-allowance correspondence according to the following:

1. 312 Amendment (dispatch application via PALM or forward message to TC via IFW)
2. Information Disclosure Statement (dispatch application via PALM or forward message to TC via IFW)
3. Address Change (review, enter in Pre-Exam system, update PALM)
4. Power of Attorney (review, enter in Pre-Exam system, update PALM)
5. Oath/Declaration (review, enter in Pre-Exam system, update PALM)
6. Foreign Priority (review, update PALM)
7. Small Entity Statement (review, update PALM)

### ***Address Change***

A change of address can only be completed when submitted by the attorney of record, applicant or assignee.

Check the application serial number, filing date, applicant's name and the title of the invention on the correspondence and make sure it matches the application.

Check the declaration, power of attorney or associate power of attorney, or assignment to verify that the person requesting the change of address is of record. If signed by an attorney, the attorney's name is listed in the power of attorney section on the declaration or in any other powers of attorney or associate powers of attorney. If there is no power of attorney, then the paper must be signed by all named inventors or assignee with title.

### **Traditional Applications only:**

If the person is of record, endorse the contents on the application in RED ink as follows:

1. Change of Address + Mailroom date
2. If there is no Mailroom date, the earliest PTO receipt date should be used.
3. Change the address on the face of the file in green.
4. Draw a line through the old address and write the new address to the right of the old address.
5. Write the paper # to the left on the border of the address line
6. Punch holes in the actual paper and place it in the application on the right side under the Notice of Allowance.
7. Put your initials and the current date next to the paper number in red ink on the upper right hand corner of the incoming paper.

### **Traditional and IFW Applications:**

Use Pre-Exam and enter the address change.

Use PALM to enter 1830, the earliest receipt date or mailroom date and key (or wand) the application serial number (bar code label of the application).

### ***Small Entity Statements***

Loss of Entitlement to Small Entity Status:

Check the serial number, filing date, applicant's name and the title of the invention on the correspondence and make sure it matches the application.

Check for name of the person signing the paper and make sure they are of record in the application; i.e., if signed by an attorney, the attorney's name is listed in the power of attorney section on the declaration or in any other powers of attorney or associate powers of attorney. If there is no power of attorney, then the paper must be signed by all named inventors or assignee with title.

Loss of Entitlements with the following conditions should be returned to PTO:

1. Paper filed under 37 CFR 1.28 c 1 where a small entity fee was paid in error, the error was discovered within three months of the fee's payment and a deficiency is paid.
2. Paper filed under 37 CFR 1.28 c 2 where a small entity fee was paid in error thereby requiring a fee deficiency and a verified statement of facts as to how the error occurred.
3. If the paper is filed under rule 1.28 c , charge case to Office of Petitions.

### **Traditional and IFW Applications:**

Use PALM to enter 1849, the earliest receipt date and key (or wand) the application serial number (barcode label of the application).

Request for Small Entity Status:

Check the serial number, filing date, applicant's name and the title of the invention on the correspondence and make sure it matches the application.

Check for name of the person signing the paper and make sure they are of record in the application; i.e., if signed by an attorney, the attorney's name is listed in the power of attorney section on the declaration or in any other powers of attorney or associate powers of attorney. If there is no power of attorney, then the paper must be signed by all named inventors or assignee with title.

### **Traditional Applications only:**

If the person is of record, endorse the contents on the application in RED ink as follows:

1. Small Entity + Mailroom date
2. If there is no Mailroom date, the earliest PTO receipt date should be used.
3. Write Small Entity in black on the face of the application above the attorney's docket number.

4. Put your initials and the current date next to the paper number in red ink on the incoming paper.
5. Punch holes in the actual paper and place it in the application on the right side under the Notice of Allowance.

Traditional and IFW Applications:

Use PALM to enter 1841, the earliest receipt date and key (or wand) the application serial number (barcode label of the application).

***Oath/Declaration***

Check the serial number, filing date, applicant's name and the title of the invention on the correspondence and make sure it matches the application.

Check for name of the person signing the paper and make sure they are of record in the application; i.e., if signed by an attorney, the attorney's name is listed in the power of attorney section on the declaration or in any other powers of attorney or associate powers of attorney.

Check for all named inventors signatures.

A declaration or oath can be entered after verifying according to the following rules:  
See Rule 1.63 in 37Code of Federal Regulations

Traditional Applications only:

If the person is of record, endorse the contents on the application in RED ink as follows:

1. Supplemental declaration + Mailroom date  
OR
2. Substitute declaration + Mailroom date  
OR
3. Oath + Mailroom date.
4. Put your initials and the current date next to the paper number in red ink on the incoming paper.
5. Punch holes in the actual paper and place it in the application on the right side under the Notice of Allowance.

Traditional and IFW Applications:

Use PALM to enter 1600, the earliest receipt date or mailroom date and key (or wand) the application serial number (bar code label of the application).

*Power of Attorney, Revocation of Attorney or Associate Power of Attorney*

Check the serial number, filing date, applicant's name and the title of the invention on the correspondence and make sure it matches the application.

If the Revocation and Power of Attorney is being submitted by APPLICANT:

1. A power of attorney or authorization of agent may be revoked at any stage in the proceedings of an application.
2. An attorney or agent (except an associate attorney or agent whose address is the same as that of the principal attorney or agent) will be notified of the revocation of the power of attorney or authorization.
3. The applicant or patent owner will be notified of the withdrawal of the attorney or agent.

If the Revocation and Power of Attorney is being submitted by ATTORNEY OR AGENT OF RECORD:

1. Check the paper to ensure it is signed by the attorney of record.
2. Check the declaration to ensure the attorney signing is of record.

If the Revocation and Power of Attorney is being submitted by ASSIGNEE:

Refer to rules: 37 CFR 3.71 or 37 CFR 3.73

An assignment will not of itself operate as a revocation of a power or authorization previously given, but the assignee of the entire interest may revoke or appoint previous powers and be represented by an attorney or agent of the assignee's own selection. The assignee must submit a Certificate letter with the Reel and Frame number or a copy of an assignment. If assignee has no Reel and Frame number use PALM to determine if it exists.

Use PALM.  
Click on General Information  
Click on Assignment link at bottom of page.  
Enter application serial number.  
Click on Search button.

The screen displays the assignment data. Find the Reel and Frame numbers (each number will contain 4 digits). Write the Reel and Frame numbers on the assignment.

After determining the Reel and Frame numbers, Enter the Revocation and Power of Attorney.

If Reel and Frame numbers can not be determined, send to PTO on query.

Traditional Applications only:

If the person is of record, endorse the contents on the application in RED ink as follows:

1. Power of Attorney + Mailroom date  
OR
2. Associate Power of Attorney + Mailroom date  
OR
3. Revocation of Attorney + Mailroom date  
OR
4. Revocation and Power of Attorney + Mailroom date
5. If there is no Mailroom date, the earliest PTO receipt date should be used.
6. If you are processing a Revocation of attorney, prepare a return Notice Form PTOL 305.

If you are revoking attorneys only, endorse the contents as follows:  
Notice of Revocation + Current date

If you are revoking attorneys and accepting new attorneys, endorse the contents as follows: Revocation and Power of Attorney + Current date

If you are accepting attorneys only, endorse the contents as follows:  
Power of Attorney + Current date

7. If the action taken will change the correspondence address, change the address on the face of the file in green ink.
8. Draw a line through the old address and write the new address to the right of the old address. Note the paper number in the lefthand border of the address box.
9. Put your initials and the current date next to the paper number in red ink on the incoming paper.
10. Punch holes in the actual paper and place it in the application on the right side under the Notice of Allowance.

Traditional and IFW Applications:

Use Pre-Exam and enter the power of attorney change.

Use PALM to enter 1820, the earliest receipt date or mailroom date and key (or wand) the application serial number (bar code label of the application).

After system updates have been completed distribute copies as follows:

The original send to PTO for scanning (or remains in the application)

The Revoked Attorney original send to PTO for scanning (or remains in the application) and place a copy in an envelope and send to PTO for mailing.

The New Attorney original send to PTO for scanning (or remains in the application) and place a copy in in an envelope and send to PTO for mailing.

NOTE: If contractor should receive a power of attorney, revocation of attorney or associate power of attorney for an application claiming continuation, divisional or parent status, then send to TC.

***Priority Papers (for non-PCT applications)***

Check the serial number, filing date, applicant's name and the title of the invention on the correspondence and make sure it matches the application.

Check for name of the person signing the paper and make sure they are of record in the application; i.e., if signed by an attorney, the attorney's name is listed in the power of attorney section on the declaration or in any other powers of attorney or associate powers of attorney. If there is no power of attorney, then the paper must be signed by all named inventors or assignee with title.



A priority paper is a document that usually has a ribbon and seal.

Check the declaration for a claim of priority.

The information presented should match the incoming priority paper.

Check country name, application number and filing date on declaration.

If the above information does not match on the declaration and the priority paper, then send on query to PTO.

Check the application for the earliest foreign filing date. Check for the earliest filing date of the US application. If it is a continuation application, request for priority must be within one year of its filing date).

The US filing date must be within one year of the filing date of the foreign application (in the event that the Foreign priority was filed on a weekend, the applicant has until the following Monday to file the US application OR if the Foreign priority was filed on a US Federal holiday, the applicant has an additional work day).

If the time period is outside of the year and this is a traditional application, endorse contents on the application as follows:

Priority Papers (Not Entered) + Mail room date

Use Priority Acknowledgement Form PTO 147 and check box 3. Place in an envelope in outgoing mail.

Check the application to find if the "Foreign priority claimed 35 USC 119 conditions met" boxes are marked "yes." If both boxes are not marked "yes", then print the IFW document and use pen to mark both boxes "yes" and write initials on line next to "Verified and Acknowledged" and send changed IFW document to PTO for scanning (or green pen to mark both boxes "yes" and write initials beside "Verified and Acknowledged).

Determine the date the issue fee payment date by either checking the PTO Mail Center date, Certificate of Mailing on the issue fee transmittal or by using PALM.

The receipt date of the priority papers must be on or before the fee payment date.

If the priority receipt date is after the fee payment date, then the priority paper must be accompanied by a petition.

If there is a petition, forward message (dispatch application) to Office of Petitions.

#### Traditional Applications only:

If there is not a petition, endorse contents on the application as follows:

1. Priority Papers (NE) + Mail room date.
2. Send out form PTOL -147
3. Check box 3
4. Use Stamp to endorse form with "Publishing Division"

If the priority receipt date is on or before the fee payment date, enter the Priority paper as follows:

In RED ink write Priority Papers + Mail room date

In BLACK ink write Acknowledgment + Current date

If the paper is a Request for Acknowledgment for priority and the paper notes that the priority is filed in a parent application, use PALM General Information to view parent application serial number and look at contents entries. Find RXXX this indicates a priority filed and request for Acknowledgment is able to be entered

Endorse the contents on the application as follows:

1. Request for Acknowledgment + Mailroom date
2. Use BLACK ink and fill out the PTOL 147- Acknowledgment form as follows:
3. Fill in the appropriate paper number in the upper right hand corner
4. Check box 2
5. Use Stamp to endorse form with "Publishing Division"
6. Place original in file and place carbon copy in envelope in outgoing mail.
7. If you did not enter the priority paper, endorse the contents on the application as follows:
8. Notice of Non-Entry of Priority Paper + Current date

If the paper is a Request for Acknowledgment for priority check inside file for the actual priority documents that were previously filed. If the actual priority documents are in the file endorse contents on the application as follows:

Request for Acknowledgment + Mailroom date

If actual priority documents are not in file, send to PTO on query.

NOTE: If priority is for a PCT application, send to Technology Center to enter.

#### Traditional and IFW Applications:

Use Pre-Exam and enter the priority change.

Use PALM to enter 1378, the earliest receipt date or mailroom date and key (or wand) the application serial number (bar code label of the application).

After system updates have been completed:

For traditional application, place original in the application and place applicant copy in an envelope to send to PTO for mailing.

For IFW application, place original in red folder and send to PTO for scanning and place applicant copy in an envelope and send to PTO for mailing

### **RECEIVING TRADITIONAL APPLICATIONS FROM THE TECHNOLOGY CENTERS WITH COMPLETED CORRESPONDENCE**

1. The Contractor shall verify that the 312 and/or IDS have been considered.

2. If the 312 and/or IDS have not been properly considered, the Contractor shall return application to TC or forward message to TC.

## **ADDITIONAL PROCESSING INSTRUCTIONS**

PTO sends spreadsheet containing the application numbers for incoming fee paid and post-allowance correspondence in IFW to the FMF. An example:

<b>Mailbox</b>	<b>Application</b>	<b>Mail Date</b>	<b>Index Date</b>	<b>Message Date</b>	<b>Mod Date</b>
PUBSIfee	08789702	3/29/04	3/31/04 20:07	4/5/04	4/5/04 16:22
PUBSIfee	09070699	3/25/04	3/26/04 16:28	4/5/04	4/5/04 12:48
PUBSNewPaper	10683392	3/31/04	4/1/04 18:45	4/5/04	4/5/04 11:03
PUBSNewPaper	29165541	4/1/04	4/2/04 16:11	4/5/04	4/5/04 13:08

The Contractor shall compare the list to their tracking system daily to determine if Initial Data Capture (IDC) has released any of these applications.

If IDC has released the application, it should be “pulled” for processing. For the applications on the list that contain a PUBSNewPaper message, the Contractor shall review the message and if necessary forward to the TC for processing.

### ***Using IFW***

Look at the TOC tab, click on the ALL tab and sort by date.

The Contractor will view all documents after the first NOA/CNTA documents (an application may contain multiple NOAs)

- IFEE
- DRW
- A..., IDS, FOR, etc.

The Contractor will review (and if necessary print) all after-NOA/CNTA papers (and merge with the application, as necessary).

The Contractor will determine if the application is a traditional application or IFW.

- If it is a traditional application, process as traditional
- The traditional application shall be released to Final Data Capture when issue ready
- The traditional application shall be dispatched to the TC if a paper requires TC consideration
- If IFW application, process as follows:
  - Locate drawings received in IFW, after verification of drawings, perform the PALM DRWF workflow with the mailroom date of the drawings. This will close the drawing requirement and record the date the drawings were received in the PALM contents of the application.
  - If a paper requires TC consideration (312 or IDS), send message to the TC requesting action on the paper (await action in the TC and a response in

the PUBSAfterAllowance Mailbox). Use PALM and perform the “PUBSTC” transaction. This will change the status and “ownership” of the application to the Technology Center.

- If the application requires entry of post-allowance correspondence (Power of Attorney; Foreign Priority; Abandonments) proceed to section, “Processing Post-Allowance Correspondence.” In general, after the entry, the original document is sent to PTO for scanning and the applicant copy is placed in an envelope and sent to PTO for mailing.
- Close and delete all messages for the application in the IFEE and PUBSNewPaper IFW Mailboxes.

### ***Preparing Issue-Ready IFW applications for Final Data Capture(FDC) Processing***

When releasing issue-ready IFW applications to FDC, the Contractor shall:

1. Use PALM and enter 1935.
2. If no error messages appear, release application to FDC.

Daily, via e-mail, provide a list of IFW applications found to be flagged for Quality Review or License & Review to PUBS Image Assistance Center so that the flags can be cleared by the PTO.

### ***CPA’s and RCE’s***

BCPA and BRCE flags will continue to be set in PALM when the fee for the CPA and RCE are processed in RAM. Therefore, the Contractor shall continue to perform the FCPA and FRCE transaction on all CPAs and RCEs.

The presence of the BCPA and BRCE flags will enable the PTO to provide the Contractor with a list of applications that can not be released to FDC.

### ***Applications that Undergo a Change to the Prosecution History***

When a correction is made to any document, for example, to the 85b or drawings, the original with the corrections should be sent to the PTO to be scanned into IFW.

### ***Queries***

1. Traditional
  - The Contractor shall send application via the normal process routed to 7550 PALM location.
2. IFW
  - The Contractor shall send the Printer Rush form to PUBS (paper or electronic).
  - Printer Rush resolution will be scanned into IFW.
  - The Contractor will receive an auto-generated IFW message providing notification of resolution.
  - After reviewing the resolution, the Contractor shall close and delete the IFW message.

### ***Applications sent to Technology Centers (Match & Return)***

#### **Traditional**

1. Traditional
  - The Contractor shall send application via the normal process routed to the appropriate Technology Center PALM location.
2. IFW
  - Send IFW message to Technology Center or Office of Petitions.
  - Exemplary messages to AU 1634 in TC 1600 are as follows:
    - 1634 Examiner Dalton IDS req. 12/18/03
    - 1634 Examiner Ivory R312 req. 12/11/03.
  - Use PALM and perform the “PUBSTC” transaction. This will change the status and “ownership” of the application to the Technology Center.
  - Store IFW hard copy for four weeks.
  - After four weeks, check IFW to see if there is a response to the Match and Return paper in IFW PUBSAfterAllowance mailbox.
  - If there is a response, continue normal processing.
  - If there is no response, send a second IFW message.
  - An exemplary second message is as follows:
    - SECOND REQUEST 1634 Examiner Dalton IDS dated 12/18/03.
  - Store IFW hard copy for four weeks.
  - After four weeks, check IFW to see if there is a response to the Match and Return paper.
  - If there is a response, continue normal processing.
  - If there is no response, send IFW message to PUBSImageAssistanceCtr mailbox.
  - Exemplary messages read as follows:
    - No response to M&R IDS of 12/18/03.
    - No response to M&R R312 of 12/11/03.
  - Store IFW hard copy.

### ***Patented IFW Applications***

Affix patent number label to Table of Contents Page of IFW application and send Table of Contents Pages for all IFW applications for a given issue to PTO. Cross-shred remainder of IFW applications.

### ***Color Utility and Plant Drawings***

Color drawings are maintained as artifacts in IFW. Artifacts should be forwarded by the Technology Center at allowance to CPK3-906 who will forward to the Contractor for processing.

### ***Maintenance of IFW Artifacts***

At allowance, the PTO sends the Contractor any artifacts associated with the allowed IFW application. The Contractor is to receive the artifacts into using the PALM system (transaction 1021) and maintain/store them during publication processing. Throughout

the data capture process, that is, IDC, FMF and FDC, the artifacts are to be maintained in such a manner that they are readily available for any required processing.

### ***Disposition of IFW Artifacts at Issuance***

At issuance, artifacts should be dispatched in PALM (transaction 1034, enter the location code of 9200 and wand the artifact serial number bar code label) and forwarded to 9200 separately from any traditional application or IFW application with which they may be associated.

### ***Undeliverable Mail Returned to the PTO by the U.S. Post Office***

1. Traditional
  - Merge returned mail with application and return application to the appropriate Technology Center.
2. IFW
  - When paper exists in IFW, send appropriate IFW message to the TC Technical Support Staff (TSSLIE) mailbox. (See tables below for listing of TC TSS mailboxes.)
  - TC will message PUBSAfterAllowance mailbox that new Notices of Allowance and Allowability have been mailed.
  - The Contractor will await issue fee payment and process accordingly.

### ***Processing of Abandoned IFW Applications***

After processing an IFW application for abandonment, (if an IFW hardcopy exists then store the IFW hard copy in the FMF abandonments library) hold for a minimum of five months from the abandonment date. After five months or more, look in IFW for a petition to revive the application or a petition to rescind the abandonment. If no such petition is present in IFW, close out application in Contractor tracking system (if an IFW hardcopy exists, shred the IFW hard copy). If such a petition is present, determine if the petition has been Granted, Denied, or Dismissed or is Pending.

1. If the petition has been Granted, make the application FDC-ready, and continue normal processing.
2. If the petition has been Dismissed or Denied, close out application in Contractor tracking system (if an IFW hardcopy exists, shred the IFW hard copy).
3. If the petition is Pending, continue to store application in Contractor tracking system (if an IFW hardcopy exists, continue to store IFW hard copy in abandonments library). After one month, check status of petition in IFW. If decision has been rendered, proceed as in 1 or 2 above. If still pending, send the following IFW message to PUBSImageAssistanceCtr mailbox: "No decision on petition of (enter date)." (if an IFW hardcopy exists, continue to store IFW hard copy in abandonments library).

***Monitoring Turnover of Stored IFW Hard Copies (if any exist)***

The Contractor should monitor the turnover of the IFW hard copies stored while awaiting a PTO response, and inform the PTO if changes in the storage guidelines may be needed.

***IFW Messaging*****TC Mailboxes for Follow-on Paper Messaging**

The tables below list the TSSLIE mailboxes for the Technology Centers. These are the mailboxes to be used for messaging the Technology Centers that the processing of post allowance follow-on papers is needed.

Team	AU	Team	AU
1600TSS04LIE	1614	1700TSS01LIE	1711
1600TSS04LIE	1615	1700TSS01LIE	1712
1600TSS04LIE	1616	1700TSS08LIE	1713
1600TSS04LIE	1617	1700TSS01LIE	1714
1600TSS03LIE	1621	1700TSS03LIE	1722
1600TSS03LIE	1623	1700TSS02LIE	1723
1600TSS01LIE	1624	1700TSS02LIE	1724
1600TSS04LIE	1625	1700TSS05LIE	1725
1600TSS04LIE	1626	1700TSS03LIE	1731
1600TSS06LIE	1631	1700TSS03LIE	1732
1600TSS06LIE	1632	1700TSS03LIE	1733
1600TSS06LIE	1634	1700TSS03LIE	1734
1600TSS06LIE	1635	1700TSS04LIE	1742
1600TSS06LIE	1636	1700TSS04LIE	1743
1600TSS06LIE	1637	1700TSS04LIE	1744
1600TSS06LIE	1638	1700TSS08LIE	1745
1600TSS04LIE	1639	1700TSS04LIE	1746
1600TSS03LIE	1641	1700TSS05LIE	1751
1600TSS02LIE	1642	1700TSS05LIE	1752
1600TSS02LIE	1644	1700TSS04LIE	1753
1600TSS02LIE	1645	1700TSS05LIE	1754
1600TSS01LIE	1646	1700TSS08LIE	1755
1600TSS01LIE	1647	1700TSS05LIE	1756
1600TSS03LIE	1648	1700TSS02LIE	1761
1600TSS01LIE	1651	1700TSS02LIE	1761
1600TSS01LIE	1652	1700TSS06LIE	1762
1600TSS02LIE	1653	1700TSS06LIE	1763
1600TSS01LIE	1654	1700TSS06LIE	1764
1600TSS02LIE	1661	1700TSS06LIE	1764
		1700TSS06LIE	1765
		1700TSS07LIE	1771
		1700TSS07LIE	1772

1700TSS07LIE 1773  
 1700TSS07LIE 1774  
 1700TSS07LIE 1775

Team	AU
2100TSS02LIE	2121
2100TSS01LIE	2122
2100TSS01LIE	2123
2100TSS01LIE	2124
2100TSS02LIE	2125
2100TSS01LIE	2126
2100TSS03LIE	2131
2100TSS03LIE	2133
2100TSS01LIE	2141
2100TSS01LIE	2142
2100TSS01LIE	2143
2100TSS01LIE	2153
2100TSS01LIE	2154
2100TSS01LIE	2155
2100TSS01LIE	2157
2100TSS03LIE	2171
2100TSS03LIE	2172
2100TSS03LIE	2173
2100TSS01LIE	2174
2100TSS03LIE	2176
2100TSS03LIE	2177
2100TSS02LIE	2181
2100TSS02LIE	2182
2100TSS02LIE	2183
2100TSS02LIE	2184
2100TSS02LIE	2185
2100TSS02LIE	2186
2100TSS02LIE	2187

Team	AU
2600TSS02LIE	2611
2600TSS02LIE	2612
2600TSS02LIE	2613
2600TSS02LIE	2614
2600TSS02LIE	2615
2600TSS03LIE	2621
2600TSS03LIE	2622
2600TSS03LIE	2623
2600TSS03LIE	2624
2600TSS03LIE	2625
2600TSS01LIE	2631
2600TSS03LIE	2632
2600TSS01LIE	2633
2600TSS01LIE	2634
2600TSS04LIE	2640
2600TSS04LIE	2642
2600TSS04LIE	2643
2600TSS04LIE	2644
2600TSS04LIE	2645
2600TSS02LIE	2651
2600TSS02LIE	2652
2600TSS01LIE	2653
2600TSS04LIE	2654
2600TSS04LIE	2655
2600TSS02LIE	2661
2600TSS01LIE	2662
2600TSS01LIE	2663
2600TSS01LIE	2664
2600TSS01LIE	2665
2600TSS02LIE	2666
2600TSS05LIE	2671
2600TSS05LIE	2672
2600TSS05LIE	2673
2600TSS05LIE	2674
2600TSS05LIE	2675
2600TSS05LIE	2676



2600TSS06LIE 2680  
 2600TSS06LIE 2681  
 2600TSS06LIE 2682  
 2600TSS06LIE 2683  
 2600TSS06LIE 2684  
 2600TSS06LIE 2685  
 2600TSS05LIE 2697

Team	AU
2800TSS01LIE	2811
2800TSS01LIE	2812
2800TSS01LIE	2813
2800TSS02LIE	2814
2800TSS01LIE	2815
2800TSS01LIE	2816
2800TSS02LIE	2817
2800TSS02LIE	2818
2800TSS08LIE	2819
2800TSS08LIE	2821
2800TSS08LIE	2822
2800TSS01LIE	2823
2800TSS08LIE	2824
2800TSS08LIE	2825
2800TSS01LIE	2826
2800TSS01LIE	2827
2800TSS08LIE	2828
2800TSS02LIE	2829
2800TSS07LIE	2831
2800TSS07LIE	2832
2800TSS06LIE	2833
2800TSS07LIE	2834
2800TSS06LIE	2835
2800TSS01LIE	2836
2800TSS07LIE	2837

Team	AU
2900TSS01LIE	2911
2900TSS02LIE	2912
2900TSS02LIE	2913
2900TSS01LIE	2914

Team	AU
2800TSS07LIE	2838
2800TSS07LIE	2839
2800TSS06LIE	2841
2800TSS06LIE	2851
2800TSS05LIE	2852
2800TSS05LIE	2853
2800TSS06LIE	2854
2800TSS03LIE	2855
2800TSS05LIE	2856
2800TSS03LIE	2857
2800TSS06LIE	2858
2800TSS05LIE	2859
2800TSS06LIE	2861
2800TSS05LIE	2862
2800TSS03LIE	2871
2800TSS03LIE	2872
2800TSS03LIE	2873
2800TSS02LIE	2874
2800TSS02LIE	2875
2800TSS02LIE	2876
2800TSS03LIE	2878
2800TSS02LIE	2879
2800TSS03LIE	2881
2800TSS02LIE	2882
2800TSS03LIE	2877

Team	AU
3600TSS01LIE	3611

Team	AU
3700TSS02LIE	3711

3600TSS02LIE	3612	3700TSS02LIE	3712
3600TSS01LIE	3616	3700TSS02LIE	3713
3600TSS03LIE	3617	3700TSS02LIE	3714
3600TSS01LIE	3618	3700TSS02LIE	3721
3600TSS04LIE	3621	3700TSS02LIE	3722
3600TSS04LIE	3622	3700TSS01LIE	3723
3600TSS04LIE	3624	3700TSS01LIE	3724
3600TSS04LIE	3625	3700TSS01LIE	3725
3600TSS04LIE	3626	3700TSS01LIE	3726
3600TSS04LIE	3627	3700TSS02LIE	3727
3600TSS04LIE	3628	3700TSS01LIE	3728
3600TSS04LIE	3629	3700TSS01LIE	3729
3600TSS03LIE	3632	3700TSS03LIE	3731
3600TSS03LIE	3634	3700TSS03LIE	3732
3600TSS03LIE	3635	3700TSS04LIE	3736
3600TSS03LIE	3636	3700TSS04LIE	3737
3600TSS03LIE	3637	3700TSS03LIE	3738
3600TSS05LIE	3641	3700TSS04LIE	3739
3600TSS05LIE	3643	3700TSS06LIE	3742
3600TSS05LIE	3644	3700TSS06LIE	3743
3600TSS01LIE	3651	3700TSS06LIE	3744
3600TSS01LIE	3652	3700TSS05LIE	3745
3600TSS01LIE	3653	3700TSS05LIE	3746
3600TSS01LIE	3654	3700TSS05LIE	3747
3600TSS05LIE	3661	3700TSS06LIE	3749
3600TSS05LIE	3662	3700TSS05LIE	3752
3600TSS05LIE	3663	3700TSS06LIE	3753
3600TSS02LIE	3671	3700TSS05LIE	3754
3600TSS02LIE	3672	3700TSS04LIE	3762
3600TSS02LIE	3673	3700TSS03LIE	3763
3600TSS02LIE	3676	3700TSS03LIE	3764
3600TSS02LIE	3677	3700TSS04LIE	3765
3600TSS02LIE	3679	3700TSS05LIE	3751
3600TSS03LIE	3681	3700TSS04LIE	3761
3600TSS03LIE	3682		
3600TSS03LIE	3683		

## TC Mailboxes for Printer Rush Query Messaging

The following table lists the mailboxes to be used for messaging the Technology Centers that processing of a Printer Rush query is needed:

TC 1600	1600TCSpecialProcessing
TC 1700	1700TCSpecialProcessing
TC 2100	2100TCSpecialProcessing
TC 2600	2600TCSpecialProcessing
TC 2800	2800TCSpecialProcessing
TC 2900	2900TCSpecialProcessing
TC 3600	3600TCSpecialProcessing
TC 3700	3700TCSpecialProcessing

## **LOCATING AND DISPATCHING REQUESTED APPLICATIONS**

### ***Electronically Transmitted Requests***

Requests for applications will be transmitted to the Contractor electronically or by telephone. The Contractor shall receive the application electronically transmitted request from the PTO Image Assistance Center (IAC), and/or from the PTO. Lists from the IAC identifying the applications and status will be transmitted to the Contractor continuously each day between the hours of 8:30 a.m. and 5:00 p.m.

The Contractor shall locate the applications. The applications which are fee paid shall receive a green Issue Fee Paid tag. The Contractor shall charge the applications using the PALM transaction 1034, the location code of 7660, and the application serial number bar code label of the application and shall deliver them to PTO according to the following schedule:

Applications requested between 2:01 p.m. and 5:00 p.m. will be delivered by 9:30 a.m.(following workday)

Applications requested between 8:30 a.m. and 11:00 a.m. will be delivered by 12:30 p.m.

Applications requested between 11:01 a.m. and 2:01 p.m. will be delivered by 3:30 p.m.

The Contractor shall notify IAC of any application that will not be delivered (notify at least a half-hour prior to delivery).

The Contractor shall receive and verify the daily IAC outstanding application report and provide status update for applications on the report.

### ***Phone or Facsimile Requests***

In the event the personal computers are down and requests for applications cannot be electronically transmitted to the Contractor via computer, the Contractor shall receive phone or facsimile requests only from the IAC who will coordinate such requests both within and outside the Office of Patent Publication. Lists from IAC personnel identifying the applications by serial number, will be given to the Contractor up to three times per

day. The Contractor shall locate the applications, charge the applications using the PALM transaction 1034, the location code of 7660, and the application serial number bar code label of the application and shall deliver them to PTO according to the aforementioned schedule.

## **PROCESSING APPLICATIONS FOR ABANDONMENT (TRADITIONAL AND IFW)**

Applications that contain a Notice of Allowance date greater than 3.5 months from the current date will be reviewed weekly. The Contractor will use Image File Wrapper (IFW) system to check for the existence of either the issue fee payment and/or drawings. For applications for which there is an issue fee payment, refer to section, "Verifying Issue Fee." For application for which there are drawings, refer to section, "Verifying Drawings."

If the issue fee payment is not found in IFW, then complete form PTO-1432 Notice of Abandonment as follows:

1. Check the box "Applicant's failure to timely pay the required issue fee within the statutory period of three months from the mailing date of the Notice of Allowance."
2. Check the box "The issue fee has not been received."
3. Attach the document, "Respond to the Notice of Abandonment."
4. The Contractor shall use the 1589 PALM transaction, enter the abandonment date (3 months from the mail date of Notice of Allowance plus 1 day) and key (or wand) the application serial number (bar code label of the application).
5. The Contractor shall send the original of the form PTO 1631 to PTO for scanning (or place in application).
6. The Contractor shall place the copy in an envelope to return to PTO for mailing.
7. Use PALM transaction 1034, enter location 9200 and key (or wand) the application serial number (bar code label of the application).

If the drawings are not found in IFW, then complete form PTO-1432 Notice of Abandonment as follows:

1. Check the box "Applicant's failure to timely file new formal drawings as required in the Notice of Allowability."
2. Check the box "No proposed new formal drawings have been received."
3. Attach the document, "Respond to the Notice of Abandonment."
4. The Contractor shall use the 1579 PALM transaction, enter the abandonment date (3 months from the mail date of Notice of Allowability plus 1 day) and key (or wand) the application serial number (bar code label of the application).
5. The Contractor shall send the original of the form PTO 1631 to PTO for scanning (or place in application).
6. The Contractor shall place the copy in an envelope to return to PTO for mailing.
7. Use PALM transaction 1034, enter location 9200 and key (or wand) the application serial number (bar code label of the application).

## **FINAL DATA CAPTURE ISSUE BUILD**

Applications the File Maintenance has prepared for issuance are used to build an issue. Issues are built according to the Patent Production Schedule. The Contractor shall build the issue by first using fee paid applications and then using the earliest fee paid applications before using applications with more recently paid fees. Patents are issued every Tuesday each week of the year.

The Contractor shall create an electronic file by extracting issue data from their data base. The issue data shall consists of, but is not limited to, the following data elements: Serial Number, Patent Number, Issue Number, Issue Date, Classification Data.

The Contractor shall transfer this electronic file to the designated USPTO file server using file transfer protocol, [FTP](#).

### **ARRANGING THE ISSUE FOR NUMBERING**

*Utility Patents (Mechanical, Chemical, Electrical), Design Patents, Plant Patents, and Reissue Patents.* When the applications are ready for the assignment of patent numbers, the Contractor shall arrange the applications by first sorting the applications by the general categories of Mechanical, Chemical, Electrical, Design, Plant, and Reissue. The general category is determined by the official classification assigned to the application. (See Technical Reference USPTO Classification attachment.) Each general category will then be placed in specific classification order. When the official classification of more than one application is identical, the Contractor shall determine the proper order by referring to the assigned subclass. An application's official class and subclass are located in the ORIGINAL CLASSIFICATION section's CLASS and SUBCLASS boxes on the Issue Classification section of the application file wrapper or in IFW system as an IIFW document or in the CLASS and SUBCLASS boxes on the left side of the Design Issue Classification section of the application file wrapper or in IFW system as an IIFW document.

### ***Statutory Invention Registrations (SIRs)***

SIRs are to appear only in the first issue of each calendar month. No other issue during that month will contain SIRs. In the first issue of a given calendar month, the SIR applications will constitute a general category, and the Contractor will arrange the SIR applications in official classification order. (See the above information about Issue Classification).

### ***Reexamination Certificates***

Reexamination certificates will constitute a general category in each issue. The Contractor will arrange the Reexamination files in ascending order by certificate number. [The certificate number is the reexamined patent's number, to which a prefix such as C1, C2, etc. has been added. The certificate number is located in the CERTIFICATE NUMBER box on the face of the Reexamination file wrapper.]

## **NUMBERING PATENTS**

After the applications are arranged in class and subclass order, the Contractor shall begin the process of assigning patent numbers. The Contractor shall assign utility patent numbers in the following order: Mechanical applications, Chemical applications, and finally Electrical applications. With respect to Design applications, Plant applications, and Reissue applications, there is a separate patent numbering sequence for each.

#### ***Numbering Statutory Invention Registrations***

After the applications are arranged in class and subclass order, the Contractor shall begin the process of assigning Statutory Invention Registration (SIR) numbers.

#### ***Numbering Reexamination Certificates***

Once the reexamination files have been arranged in order of certificate number, the Contractor will process each reexamination application. The sequential number indicates the location of the published certificate in the chronological order of publication of reexamination certificates. The sequential number must be an ordinal number in parentheses and it must appear in the appropriate style as shown in the following examples for ex parte reexamination certificates: (3,560th), (3,561st), (3,562<sup>nd</sup>), (3,563<sup>rd</sup>), (3,564<sup>th</sup>).

The numbering sequence for inter partes reexamination certificates is a new and separate sequence. As in the following examples: (1st), (2<sup>nd</sup>).

### **IDENTIFYING THE ISSUE DATE AND PLACING PATENT NUMBER BAR CODE LABELS ON APPLICATIONS**

Applications shall be arranged in patent number sequence as determined by the issue build.

The Contractor shall identify the issue date on the face of the application.

Applications that will comprise an issue have patent number labels affixed. The Contractor shall place one patent number label on the face of each application in the upper right hand corner in the block labeled "Patent Number."

If the application has drawings, the Contractor shall place the patent number label in a blank area on the upper portion of the first sheet of the drawings. The Contractor shall maintain the proper sequence of the drawings.

If the application is an IFW application, the Contractor shall place the patent number label on the printed copy of the IFW Table of Contents and deliver to the PTO.

### **REVIEW, ASSEMBLY AND MAILING OF PATENT GRANTS**

The Contractor will receive from the Printing Contractor a shipment(s) of patent grant and a Delivery Receipt that shows the number of boxes per shipment, issue date, and quantity/range of the shipment. The Contractor shall pull the Delivery Receipt, date/time stamp it and then give the date stamped receipt to the PTO.

A transmittal sheet (located in the first box of each shipment) listing the number of patent grants shipped shall be checked for discrepancies. The Contractor shall complete the Discrepancy Report for each issue by checking for the following:

Patent grants listed but not received.

Patent grants received but not listed.

Remakes (incomplete grants).

Jumbos (all ledger copies with more than 24 sheets).

A completed copy of the Discrepancy Report shall be given to the PTO each week after the grants have been mailed.

The Contractor shall perform the review, assembly, and mailing tasks sequentially. In the review of patent grants, Re-examination certificates and Statutory invention registrations, if all specified requirements are not met, the Contractor shall deliver the complete document to the PTO with the defect(s) noted.

#### **REVIEW OF PATENT GRANT (except for Re-examination Certificates and Statutory Invention Registrations)**

The Contractor shall review each patent grant to ensure that the patent number on the front of the patent grant matches the patent number on the front sheet, on the sheet(s) of specification, and the drawing(s), if any. The patent grant cover is checked for the presence of the Commissioner's signature. The sheets of specification and drawing(s) if any, are checked to determine the completeness of the patent grant. The numbers on the top of each sheet of drawing(s) indicate the sheet number in relation to the total number of drawing sheets. Drawings are printed on only one side of the paper. The Contractor shall check to ensure that all sheets of drawings are present, in order, and of proper quality.

The specification is normally printed on both sides of the paper except for the first sheet and possibly the last sheet. The first sheet of the specification has two columns that are not numbered. All other sheets of the specification have two columns that are numbered except the last page that may have only one numbered column. At the end of the last column of the specification, there are five asterisks, which indicate both the end of the specification and the end of the patent.

The Contractor shall check the following:

All columns on all sheets, except the columns on the first sheet of the specification are numbered.

The column numbers to ensure that the sheets are in correct order.

The patent number on each sheet to ensure it is the same number on all sheets.

#### **ASSEMBLY OF PATENT GRANT (except for Re-Examination Certificates and Statutory Invention Registrations)**

The Contractor shall assemble the patent grants by placing the ledger copy inside the grant cover as follows:

The front page followed by drawings (if any) and the specification pages. Front pages and drawing pages are printed face side only. Specification pages are printed front and back. Measure the grant for correct spine size (by using a spine capacity conversion chart). Place grant in the COVERBIND (201 DFS) binding machine for binding.

The PTO will notify the Contractor if the assembly of a patent grant requires separate handling to incorporate microfiche or colored drawing sheets in the grant. Microfiche along with the grant will be given back to the Contractor for mailing after the PTO has affixed the microfiche to the assembled grant. The PTO will give colored drawing sheets to the Contractor prior to the issue date. The Contractor shall insert the color drawing during the assembly process.

The Government reserves the right to change the method of assembly of patent grants. The Contractor shall be given thirty calendar days advance notice for a change. This may be considered a change under the Changes Clause.

#### **MAILING OF PATENT GRANT (except for Re-examination Certificates and Statutory Invention Registrations)**

Mailing labels are received by the Contractor from the PTO approximately one week prior to the issue date. The Contractor shall create Patent Number Bar Code labels for each patent number assigned for a given weekly issue. The Contractor shall affix the mailing labels on 9 1/2 inches by 11 1/2 inches, official brown franked envelopes. The Contractor shall place each of the patent grants in the appropriate envelopes. The issue date the patent grant is mailed is recorded in PALM by using the Patent Number Bar Code labels:

Use PALM to enter transaction 1219.

Wand the Patent Number Bar Code label on the envelope.

The Contractor shall deliver all patent grants to the PTO on the afternoon of the issue date, where they are mailed to applicants/attorneys.

#### **REVIEW AND MAILING OF GRANT OR CERTIFICATE FOR RE-EXAMINATION CERTIFICATES AND STATUTORY INVENTION REGISTRATIONS**

In the review of reexamination certificates and statutory invention registrations, if all specified requirements are not met, the Contractor shall deliver the complete document to the PTO.

##### ***Processing Re-examination Certificates***

The Re-examination certificates require no review or assembly.

##### ***Reviewing Statutory Invention Registrations***

A Statutory invention registration can be issued in place of a regular utility, design, or plant patent. It will be almost identical in appearance to the normal patent except that the statutory invention registration has no cover sheet and instead of the patent number, it has



a registration number beginning with the letter "H". Statutory invention registrations will issue on the first issue date of each month. This schedule is subject to change. Depending on demand, a more frequent schedule may become necessary.

The Contractor shall review the statutory invention registrations according to the procedure in section, "Review of Patent Grants ...," except that  
There is no cover sheet to check and;  
The registration number is checked, rather than the patent number.  
No assembly is required for statutory invention registrations.

### ***Mailing of Statutory Invention Registrations***

Mailing labels are received by the Review and Assembly Section from the PTO approximately one week prior to the issue date. The Contractor shall create Patent Number Bar Code labels for each patent number assigned for a given weekly issue. The Contractor shall affix the labels on 9 1/2 inches by 11 1/2 inches, official brown franked envelopes. The Contractor shall place each of the statutory invention registrations in the appropriate envelopes. The issue date the patent grant is mailed is recorded in PALM by using the Patent Number Bar Code labels:

- Use PALM to enter transaction 1219.
- Wand the Patent Number Bar Code label on the envelope.

All Statutory invention registrations are then delivered to the PTO on the afternoon of the issue date, where they are mailed to applicants/attorneys.

### ***Mailing of Re-examination Certificates***

The Contractor will receive white mailing labels from the PTO. The applicant's/attorney's address shall be obtained in the following manner:

- Use PALM.
- Click on General Information
- Enter series code and serial number of the reexamination file.
- Click on Address button.

The Contractor shall type the applicant's/attorney's address onto the white mailing label. The Contractor shall place the re-examination certificate in an official brown franked envelope, 9 1/2 inches by 11 1/2 inches. On the afternoon of the issue date, the Contractor shall deliver the envelopes to the PTO.

## **FORWARDING PATENTED TRADITIONAL APPLICATIONS TO FILES REPOSITORY**

Each week, the Contractor shall be responsible for delivering the entire issue of patented applications to Files Repository located in Newington, Virginia. The patented applications shall be on trucks, in twenty or more batches, in patent order sequence, with a color-coded transmittal slip attached to the top of each truck. The transmittal slip will show the numerical range of the application files on each truck. On each Thursday (Prior Work Day 4), prior to the issue date, the Contractor shall be releasing the patented

applications to Files Repository with the last shipment occurring no later than Monday (Prior Work Day 2) before issue date, according to the following procedures:

Arrange patented files in patent number sequence on the staging racks.

Place patented applications on delivery trucks maintaining the patent number sequence order.

Deliver the trucks to the Files Repository located in Newington, Virginia.

## **ADDITIONAL REQUIREMENTS**

The Contractor may be required to perform an inventory of each application, available in the File Maintenance Facility or Final Data Capture. This inventory will be at the discretion of the PTO. The inventory will normally be performed after hours and be conducted at the expense of the Government. The inventory will not be conducted more often than twice during a calendar year. It will be performed using specific instructions by the PTO.

The intent of the foregoing inventory is as follows:

1. To locate misplaced applications.
2. To identify any issue fee paid applications that have been overlooked and have not been prepared for issue.
3. To identify any potentially abandoned non-fee paid applications that have not been processed for abandonment.
4. To bring any problem applications to the attention of the PTO.

## **MARKING DELIVERABLES**

Packing, labeling, and marking of items to be delivered under this contract must comply with the instructions provided by the Contracting Officer's Technical Representative.

## Sample of Weekly Issue Breakdown:

### *Weekly Issue Breakdown*

<i>Issue Date:</i>	05/04/2004		<i>Total</i>
<i>Mechanical:</i>	6728969	- 6730129	1161
<i>Chemical:</i>	6730130	- 6730838	709
<i>Electrical:</i>	6730839	- 6732373	1535
<i>Total Issue Size:</i>			3405
<i>Plants:</i>	PP14743	- PP14766	24
<i>Reissues:</i>	RE38509	- RE38510	2
<i>Designs:</i>	D489161	- D489510	350
<i>SIR's:</i>	H002101	- H002104	4
<i>Total Sub-Database Size:</i>			380

#### *Ex Parte*

*Reexams: Sequence #:*

C1 5228394	4932
C1 5269202	4933
C1 5653863	4934

#### *Inter Partes*

*Reexams: Sequence #:*

*Total Reexam Size:* 3

*Total Patents in Issue :* 3788

*Tuesday, April 13, 2004*

9:56:01 PM

*Page 1 of 1*

**Sample of Weekly Issue Build List:**

The weekly issue build file should be named based on the particular week's issue build.

For example: 1720040427

17 equates to the 17th week (or issue) of the calendar year

2004 equates to the year

0427 equates to the month 04 and week 27 for that particular issue build

The file should be a text file that contains leading zeroes (as necessary) and delimited by commas. It should also be in a two column format as shown and provide the weekly issue file name in row one with a comma after the name

For example:

1720040427,  
09881021,6635132  
10058775,PP14244  
08775825,RE38277  
29145357,D480867  
90006447,C5697028  
09637199,H002077